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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 88362/107

In re Patent Application of

#16

Danuta Ewa Irena MOSSAKOWSKA et al.

Serial No.: 09/380,682

Group Art Unit: Unassigned

Filed: September 2, 1999

Examiner: Unassigned

For: COMPLEMENT RECEPTOR TYPE 1 (CR1)-LIKE SEQUENCES

REQUEST FOR REFUND

Assistant Commissioner for Patents
Washington, D. C. 20231

ATTN: FINANCE DEPARTMENT/REFUND DIVISION

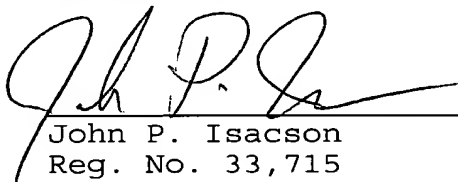
Sir:

On October 19, 1999 a Verified Statement Claiming Small Entity Status was filed in connection with the captioned application. Copies of Form PTO-1390, Verified Statement Claiming Small Entity Status, and the PTO-stamped receipt card are attached.

The first fee in this application was paid on September 2, 1999 in the amount of \$1,224.00, established for a non-small entity. Therefore, Applicants are entitled to a 50% refund of said fee consistent with the Notice of the Acting Commissioner of Patent and Trademarks of February 15, 1983 (1027 OG 115).

Therefore, it is respectfully requested that a refund be issued and Deposit Account No. 19-0741 be credited for \$612.00. This paper is being submitted in duplicate for the convenience of the Finance Division.

Respectfully submitted,


John P. Isacson
Reg. No. 33,715

November 8, 1999
Date

FOLEY & LARDNER
3000 K Street, N.W., Suite 500
Washington, D.C. 20007-5109
Phone: (202) 672-5300
Fax: (202) 672-5399

RECEIPT ACCOUNTING
DIVISION
1999 NOV 10 PM 3:53

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/USO I P T)
CONCERNING A FILING UNDER 35 U.S.C. 371

88362/107

APPLICATION NO. (If known, see 37 C.F.R. 1.5)
09/380,682INTERNATIONAL APPLICATION NO.
PCT/GB98/00727INTERNATIONAL FILING DATE
March 5, 1998PRIORITY DATE CLAIMED
March 5, 1997

TITLE OF INVENTION

COMPLEMENT RECEPTOR TYPE 1 (CR1)-LIKE SEQUENCES

APPLICANT(S) FOR DO/EO/US

Danuta Ewa Irena MOSSAKOWSKA, Vivienne Frances COX, and Richard Anthony GODWIN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371 (c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

(1) Verified Statement Claiming Small Entity Status

COPY

U.S. APPLICATION NO. (If known, see 37 C.F.R.
09/380,682

INTERNATIONAL APPLICATION NO.
PCT/GB98/00727

ATTORNEY'S DOCKET NUMBER
88362/107

17. ☒ The following fees are submit.

Basic National Fee (37 CFR 1.492(a)(1)-(5):

Search Report has been prepared by the EPO or JPO \$840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
..... \$670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482)
but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$760.00

Neither international preliminary examination fee (37 CFR 1.482) nor
international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$970.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(2)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS

PTO USE ONLY

0.00

0.00

0.00

0.00

0.00

0.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30
months from the earliest claimed priority date (37 CFR 1.492(e))

\$ 130.00

Claims	Number Filed	Number Extra	Rate
Total Claims	-20 =		X \$18.00
Independent Claims	-3 =		X \$78.00
Multiple dependent claim(s) (if applicable)			+ \$260.00

\$ 0.00

\$ 0.00

\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$ 130.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement
must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).

\$ 65.00

SUBTOTAL =

\$ 65.00

Processing fee of \$130.00 for furnishing English translation later the ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

+ \$ 0.00

TOTAL NATIONAL FEE =

\$ 65.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED =

\$ 105.00

Amount to be:

refunded \$

charged \$

a. ☒ A check in the amount of \$105.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 19-0741 in the amount of \$_____ to the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0741. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Foley & Lardner
3000 K Street, N.W., Suite 500
P.O. Box 25696
Washington, D.C. 20007-8696

SIGNATURE

John P. Isacson

NAME

33,715

REGISTRATION NUMBER

Applicant or Patentee: Danuta Ewa Irena MOSSAKOWSKA et al

Serial or Patent No.: 09/380,682

Atty. Dkt. No. 88362/107

Filed or Issued: September 2, 1999

For: COMPLEMENT RECEPTOR TYPE 1 (CR1)-LIKE SEQUENCES



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27 (c)) — SMALL BUSINESS CONCERN**

COPY

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN AdProTech plc

ADDRESS OF CONCERN Second Floor, Units 7 & 8, The Maltings, Green Drift, Royston, Herts SG8 5DY,
United Kingdom

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled COMPLEMENT RECEPTOR TYPE 1 (CR1)-LIKE SEQUENCES by inventor(s) Danuta Ewa Irena MOSSAKOWSKA et al. described in

☐ the specification filed herewith

☒ application serial no. 09/380,682, filed September 2, 1999

☐ patent no. _____, issued _____

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). * NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities: (37 CFR 1.27)

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT CORPORATION

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT CORPORATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate: (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: RICHARD A.G. SMITH

TITLE OF PERSON OTHER THAN OWNER: CHIEF SCIENTIFIC OFFICER

ADDRESS OF PERSON SIGNING: UNITS 7 & 8, THE MALTINGS, GREEN DRIFT, ROYSTON, UK

SIGNATURE: [Signature]

DATE: 12 OCTOBER 1999